

TEN CRITERIA FOR EVALUATING INVESTIGATION REPORTS

This checklist identifies the 10 essential features of an effective investigation report.

It can be referred to by organisations when determining the quality of their reports.

✓ **The investigation achieved its purpose**

The investigation achieved its purpose within the scope defined in the client-provided terms of reference and followed applicable policies and procedures

✓ **The process was thorough**

The investigator made all necessary enquiries, via a combination of document review and interviews

✓ **Findings are evidence based**

The findings of fact and the reasons for those findings were sound and evidence-based

✓ **Valid reasoning for certain actions**

The reasons the investigator did or did not pursue any lines of enquiry that came to light during the investigation were clearly articulated

✓ **All parties were treated fairly**

The investigation was fair to all parties, and the respondent was:

- Advised in writing of the allegations against them and the particulars of those allegations
- Given the opportunity to respond to the allegations in person and/or in writing
- Given a fair and unbiased hearing

✓ **Findings are clear**

The report concludes whether the allegations were substantiated or not substantiated and provides sufficient information to support such conclusions

✓ **Mitigating circumstances are explained**

Any mitigating circumstances associated with the findings are described and explained, which the delegated decision maker can defer to when determining future action

✓ **Any delays are explained**

The reason for any delays that occurred during the investigation are clearly set out, noting that such delays should have been brought to the client's attention during the investigation

✓ **Supporting documents are included**

All witness statements or interview transcripts and documentary evidence are attached to the report

✓ **Structure & Quality Assurance**

A good quality investigation report:

- Is logically structured, concise and grammatically correctIncludes a brief executive summary
- Includes a brief narrative describing the circumstances that led to the investigation
- Refers to the relevant sections of the organisation's code of conduct or policies that have been breached
- Is peer-reviewed
- Includes a list of Attachments comprising all relevant documents, interview transcripts and other artefacts referred to in the report



IMPROVE YOUR REPORT REVIEWS AND COMPLAINT HANDLING SYSTEMS AND PROCESSES

Centium provides quality, independent, and confidential investigation services to more than 100 organisations. We have conducted more than 2,000 workplace and code of conduct investigations over the last two decades.

For a free no-obligation consultation on your organisation's investigation reporting standards with one of our experienced Ethical Conduct & Investigations experts, get in touch.